



PTO/SB/21 (02-04)

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<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	Application Number	10/690,132
	Filing Date	October 21, 2003
	First Named Inventor	Hoffend, Jr., Donald A.
	Art Unit	3654
	Examiner Name	Unknown
Total Number of Pages in This Submission	Attorney Docket Number	85809.000028

**ENCLOSURES (check all that apply)**

- |  |  |   |
|--|--|---|
| <input type="checkbox"/> Fee Transmittal<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment/Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavit/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><br><input checked="" type="checkbox"/> Information Disclosure Statement including Forms PTO/SB/08a and PTO/SB/08b<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><br><input type="checkbox"/> Response to Missing Parts/Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><br><input type="checkbox"/> Request for Refund<br><br><input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communications to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><br><input type="checkbox"/> Status Letter<br><br><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):<br>International Search Report from related application, Copies of all foreign references and literature document listed on PTO Forms, and Return Postcard |
|--|--|---|

Remarks

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Brian B. Shaw, HARTER, SECREST & EMERY LLP
Signature	
Date	March 24, 2004

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Type or printed name	Carol Austin		
Signature		Date	March 24, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you are required to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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PATENTS

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Hoffend, Jr., Donald A.	Atty. Docket:	85809.000028
Serial No.:	10/690,132	Examiner:	
Filed:	October 21, 2003	Art Unit:	3654
Title:	BRAKE FOR HOIST ASSEMBLY		

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97 (b)

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicant hereby submits an Information Disclosure Statement as set forth on the enclosed forms, PTO/SB/08a and PTO/SB/08b.

Copies of the foreign publications and their corresponding English language abstracts are included. An English language abstract of DD 255 522 is not available, therefore a copy of the International Search Report related to this application's parent filing, 09/627,537, is provided (MPEP III A3).

As this Statement is filed before the mailing of the first Office Action, Applicant believes there are no fees due at this time.

Respectfully submitted,



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Telephone: 585-232-6500  
Fax: 585-232-2152

Dated: 24 March 2004



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<b>Substitute for form 1449A/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)  Sheet 1 of 2				<b>Complete if Known</b>	
				Application Number	10/690,132
				Filing Date	October 21, 2003
				First Named Inventor	Hoffend, Jr., Donald A.
				Art Unit	3654
				Examiner Name	
				Attorney Docket Number	85809.000028

U.S. PATENT DOCUMENTS						
Examiner Initials	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)				
		US-977,499		12-06-1910	Bailey	
		US-977,500		12-06-1910	Bailey	
		US-1,263,628		04-23-1918	Vallen	
		US-1,340,066		05-11-1920	Lemle	
		US-1,473,336		11-06-1923	Connelly	
		US-1,821,563		09-01-1931	Mitchell et al.	
		US-2,357,462		09-05-1944	Ferguson	
		US-2,649,279		08-18-1953	Jones et al.	
		US-4,046,235		09-06-1977	Shutt	
		US-4,062,519		12-13-1977	Jacobs	
		US-4,156,521		05-29-1979	Harman	
		US-4,251,059		02-17-1981	Fougea	
		US-4,324,386		04-13-1982	Gagnon et al.	
		US-4,606,527		08-19-1986	Ziller et al.	
		US-4,662,628		05-05-1987	Chatenay pouse Compagnone	
		US-5,031,574		07-16-1991	McDowell	
		US-5,141,085		08-25-1992	McCormick	
		US-5,361,565		11-08-1994	Bayer	
		US-5,711,713		01-27-1998	Krueger	
		US-6,520,485		02-18-2003	Soot	
		US-6,364,062		04-02-2002	Ericson et al.	

FOREIGN PATENT DOCUMENTS								
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3*</sup>	Number <sup>4*</sup>	Kind Code <sup>5</sup> (if known)				
		DD	255 522		04-06-1988	VEB SACHSISCHER BRUKEN		
		DE	37 37 612		06-01-1989	REXROTH MANNESMANN GMBH (DE)		
		DE	42 04 153		08-1993	LICENTIA GMBH (DE)		
		EP	0 540 136		05-05-1993	ELEPHANT CHAIN BLOCK CO (JP)		
		EP	0 778 239		06-11-1997	OELSCH FERNSTEUERGERAETE (DE)		
		FR	2 689 415		10-08-1993	SCENAB AB		
Examiner Signature						Date Considered		

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds of Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/690,132
				Filing Date	October 21, 2003
				First Named Inventor	Hoffend, Jr., Donald A.
				Art Unit	3654
				Examiner Name	
Sheet	2	of	2	Attorney Docket Number	85809.000028

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Cyclorama Batten Systems, Regional Performing Arts Center, Philadelphia, PA. December 15, 1999.	
		English Abstract of publication DE 37 37 612	
		English Abstract of publication DE 42 04 153	
		English Abstract of publication EP 0 540 136	
		English Abstract of publication EP 0 778 239	
		English Abstract of publication FR 2 689 415	

Examiner Signature		Date Considered	
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\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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